

**ETHICS AND CAMPAIGN DISCLOSURE  
BOARD, IOWA[351]**

Rules transferred from agency number [190] to [121] to conform with the reorganization numbering scheme in general, IAC Supp. 9/9/87.  
Prior to 3/30/94, Campaign Finance Disclosure Commission [121]

**CHAPTER 1  
COMPLAINT, INVESTIGATION,  
AND RESOLUTION PROCEDURE**

- 1.1(68B) Formal complaints
- 1.2(68B) Investigations—board action
- 1.3(68B) Grounds for disciplinary action
- 1.4(68B) Disciplinary remedies; routine enforcement matters—contested case challenge
- 1.5(17A,68B) Informal settlements

**CHAPTER 2  
IOWA ELECTION CAMPAIGN FUND**

- 2.1(56) Interpretation of checkoff markings
- 2.2(56) Director of revenue and finance—monthly reports
- 2.3(56) Funds—application and transfer
- 2.4(56) Nonlegitimate Iowa election campaign fund expenses
- 2.5(56) Documentation by political parties
- 2.6(56) Legitimate campaign expenses
- 2.7 Reserved
- 2.8(56) Limitations on types of expenditures
- 2.9(56) Change not permitted
- 2.10(56) Rescission not permitted
- 2.11(56) Time limit for filing
- 2.12(56) Party report forms

**CHAPTER 3  
COUNTY COMMISSIONERS  
OF ELECTION**

- 3.1(56) Summary reports
- 3.2(56) Availability of campaign finance information in offices of county election commissioners—costs
- 3.3(56) Summary report form
- 3.4(56) Ballot information provided

**CHAPTER 4  
CAMPAIGN DISCLOSURE PROCEDURES**

**DIVISION I  
ORGANIZATIONAL REQUIREMENTS**

- 4.1(56,68B) Requirement to file statement of organization (DR-1)—persons subject to requirements; financial thresholds; where to file; when due
- 4.2(56,68B) Information required: committee name
- 4.3(56,68B) Information required: committee purpose; party affiliation
- 4.4(56,68B) Information required: officers; committee information; signatures
- 4.5(56,68B) Information required: identification of financial institution; account names; voided check
- 4.6(56,68B) Amendments to statement of organization; requirement for new statement of organization for new office sought
- 4.7(56,68B) Committees which support county/local ballot or franchise issues in multiple counties or localities—organization
- 4.8 to 4.19 Reserved

**DIVISION II  
REPORTING AND FINANCIAL TRANSACTION  
REQUIREMENTS**

- 4.20(56,68B) Disclosure reporting required—persons subject; minimum filing if no financial activity
- 4.21(56,68B) Disclosure reporting required—where to file
- 4.22(56,68B) Report due dates
- 4.23(56,68B) Time of filing—United States Postal Service postmark required; extension for holidays; facsimile filing

4.24(56,68B)	Committees which support county/local ballot or franchise issues in multiple counties or localities—reporting	4.45(56,68B)	Contributions by minors
		4.46(56,68B)	Freewill donations
		4.47(56,68B)	Information required for trusts to avoid a contribution in the name of another person
4.25(56,68B)	Exception from reporting requirement—voluntary reports	4.48(56,68B)	Contributions from political committees not organized in Iowa
4.26(56,68B)	Exception from reporting requirement—reports due within five days of one another	4.49(56,68B)	Reporting of earmarked contributions
		4.50(56,68B)	Loans or obligations forgiven or transferred; interest and imputed interest
4.27(56,68B)	Report forms—summary page (DR-2) and supporting schedules	4.51(56,68B)	Funds from unknown source—escheat; later identification of source
4.28(56,68B)	Schedule A - Monetary Receipts	4.52(56,68B)	Inactive status
4.29(56,68B)	Schedule B - Monetary Expenditures	4.53(56,68B)	Permanent organizations which become temporary political committees
4.30	Reserved		Cash transactions
4.31(56,68B)	Schedule D - Incurred Indebtedness	4.54(56,68B)	Record keeping
4.32(56,68B)	Schedule E - In-kind Contributions	4.55(56,68B)	Reserved
		4.56 to 4.69	DIVISION III
4.33(56,68B)	Schedule F - Loans Received and Repaid		POLITICAL MATERIAL—ATTRIBUTION STATEMENTS
4.34(56,68B)	Schedule G - Breakdown of Monetary Expenditures by Consultants	4.70(56,68B)	Political attribution or disclaimer statements—contents
4.35(56,68B)	Schedule H - Campaign Property	4.71(56,68B)	Yard signs and outdoor advertising
4.36(56,68B)	Reconciled bank statement required with January report and final report	4.72(56,68B)	Newspaper or magazine
		4.73(56,68B)	Political advertising disclaimers (identification of sponsor)
4.37(56,68B)	Verification of reports; incomplete reports	4.74(56,68B)	Specific items exempted from or subject to attribution statement requirement
4.38(56,68B)	Information to be included on initial report	4.75(56,68B)	Apparent violations; remedial actions
4.39(56,68B)	Amendment—statements, disclosure reports and notices	4.76 to 4.79	Reserved
4.40(56,68B)	Filing in the wrong place		DIVISION IV
4.41(56,68B)	Deposit of funds, notification of treasurer of receipts and timely deposit—documentation by check		CORPORATE POLITICAL ACTIVITY
		4.80(56,68B)	Use of corporate property prohibited
		4.81(56,68B)	Corporate-sponsored political action committee
4.42(56,68B)	Legitimate expenditures of campaign funds	4.82(56,68B)	Voter education
4.43(56,68B)	Transfers between candidates	4.83(56,68B)	Permitted activity—reimbursement required
4.44(56,68B)	Transfers of funds and debts between multiple committees of the same person		

4.84(56,68B)	Use of corporate facilities for individual volunteer activity by stockholders, administrative officers and employees	6.1(56) 6.2(56)	CHAPTER 6 CIVIL PENALTIES Delinquent reports Routine civil penalty assessments for late-filed disclosure reports
4.85(56,68B)	Individual property		
4.86(56,68B)	Political corporations	6.3	Reserved
4.87(56,68B)	Political corporations required to file disclosure reports	6.4(56) 6.5 and 6.6	Payment of penalty Reserved
4.88(56,68B)	Corporate involvement with political committee funds		
4.89 to 4.99	Reserved		CHAPTER 7 CONTESTED CASE PROCEDURES
	DIVISION V	7.1(17A,68B)	Scope and applicability
INDEPENDENT EXPENDITURES AND IN-KIND CONTRIBUTIONS		7.2(17A,68B)	Definitions
		7.3(17A,68B)	Time requirements
4.100(56,68B)	Express advocacy; in-kind contributions; independent expenditures—definitions	7.4(17A,68B)	Requests for contested case proceeding
4.101(56,68B)	Notice of independent expenditure required	7.5(17A,68B)	Notice of hearing
4.102(56,68B)	Disavowal by candidate or ballot issue committee	7.6(17A,68B)	Waiver of procedures
		7.7(17A,68B)	Telephone proceedings
4.103(56,68B)	Specific expenditure situations; valuation of polls	7.8(17A,68B)	Disqualification
		7.9(17A,68B)	Consolidation—severance
		7.10(17A,68B)	Pleadings
4.104 to 4.109	Reserved	7.11(17A,68B)	Service and filing of pleadings and other papers
	DIVISION VI	7.12(17A,68B)	Discovery
COMMITTEE RESOLUTION		7.13(17A,68B)	Subpoenas
		7.14(17A,68B)	Motions
4.110(56,68B)	Statement of dissolution (DR-3); final report; closing bank statement	7.15(17A,68B)	Prehearing conference
		7.16(17A,68B)	Continuances
4.111(56,68B)	Leftover funds	7.17(17A,68B)	Withdrawals
4.112(56,68B)	Disposition of property for dissolution of committee	7.18(17A,68B)	Intervention
4.113(56,68B)	Assumption or settlement of debts and obligations	7.19(17A,68B)	Hearing procedures
		7.20(17A,68B)	Evidence
4.114 to 4.119	Reserved	7.21(17A,68B)	Default
		7.22(17A,68B)	Ex parte communication
		7.23(17A,68B)	Recording costs
		7.24(17A,68B)	Interlocutory appeals
		7.25(17A,68B)	Final decision
		7.26(17A,68B)	Board review
5.1(56,68B)	General agency description	7.27(17A,68B)	Application for rehearing
5.2(68B)	Requirements for requesting board opinions	7.28(17A,68B)	Stay of agency actions
			CHAPTER 8 PETITIONS FOR RULE MAKING
5.3(68B)	Processing of opinion requests; formal and informal board opinions; routine administrative advice	8.1(56) 8.2(56) 8.3(56) 8.4(56)	Petition for rule making Briefs Inquiries Agency consideration
5.4 to 5.7	Reserved		
5.8(56)	Board's agenda		
5.9(56)	Treasurer receives forms		
5.10(22,56,68B)	Availability of reports and information—copies provided; prohibitions		

## CHAPTER 9 DECLARATORY RULINGS

- 9.1(56) Petition for declaratory ruling
- 9.2(56) Briefs
- 9.3(56) Inquiries
- 9.4(56) Agency consideration
- 9.5(56) Refusal to issue ruling
- 9.6(56) Contents of declaratory ruling—  
effective date
- 9.7(56) Effect of a declaratory ruling

## CHAPTER 10 PUBLIC RECORDS AND FAIR INFORMATION PRACTICES

- 10.1(56) Definitions
- 10.2(56) Statement of policy
- 10.3(56) Requests for access to records
- 10.4(56) Procedures for access to  
confidential records
- 10.5(56) Request for treatment of a record  
as a confidential record
- 10.6(56) Procedure by which a subject  
may have additions,  
dissents or objections  
entered into the record
- 10.7(56) Consent to disclosure by the  
subject of a confidential  
record
- 10.8(56) Notice to suppliers of  
information
- 10.9(56) Disclosure without the consent  
of the subject
- 10.10(56) Routine use
- 10.11(56) Consensual disclosure of  
confidential records
- 10.12(56) Release to subject
- 10.13(56) Availability of records
- 10.14(56) Personally identifiable  
information
- 10.15(56) Other groups of records
- 10.16(56) Data processing systems
- 10.17(56) Applicability

## CHAPTER 11 PERSONAL FINANCIAL DISCLOSURE

- 11.1(68B) Filing requirements and  
procedures
- 11.2(68B) Persons who are required to file  
with the board—by agency
- 11.3(68B) Annual filing exemption—  
procedure

## CHAPTER 12 CODES OF CONDUCT

- 12.1(68B) Board code of ethics
- 12.2(68B) Board sales of goods and  
services
- 12.3(68B) Code of ethics for state executive  
branch officials and  
employees and statewide  
candidates

## CHAPTER 13 EXECUTIVE BRANCH LOBBYISTS

- 13.1(68B) Lobbyist code of ethics—  
executive branch lobbyists
- 13.2(68B) Lobbyist quarterly reports and  
lobbyist client reports
- 13.3(68B) Designated representatives
- 13.4(68B) Nonlobbying activities
- 13.5(68B) Penalties for failure to register
- 13.6(68B) Penalties for late lobbyist reports
- 13.7(68B) Penalties for late client reports
- 13.8(68B) Discretionary penalties
- 13.9(68B) Requests for waiver or reduction  
of assessed penalties
- 13.10(68B) Lobbyist compensation—  
reporting and exemptions